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CF/012

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Stewart Harris et al.  
Application No.: 09/755,591 Confirmation No.: 3838  
Filed : January 5, 2001  
For : SYSTEMS AND METHODS FOR MONITORING CREDIT  
OF TRADING COUNTERPARTIES  
Group Art Unit : 2164  
Examiner : Not yet assigned

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TRANSMITTAL LETTER

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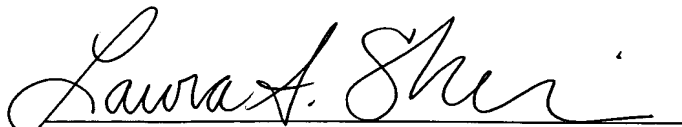
Transmitted herewith is an Information Disclosure  
Statement in the above-identified application. This Statement  
is submitted:

- ☐ within three months of the application filing date;
- ☒ more than three months from the application  
filing date but before the mailing date of the  
first Office Action on the merits.

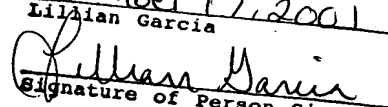
In accordance with 37 C.F.R. § 1.97, submission of  
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Office is hereby authorized to charge payment of any fees  
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Statement to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

Respectfully submitted,



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INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97,  
applicants wish to call the attention of the Examiner to the  
following documents:

U.S. Patent Documents

Kalmus et al.	4,674,044	(06/16/87)
Nelson	4,823,265	(04/18/89)
Wagner	4,903,201	(02/20/90)
Kramer	5,038,284	(08/06/91)
Kosaka et al.	5,161,103	(11/03/92)
Hartheimer et al.	5,258,908	(11/02/93)
Kosaka et al.	5,267,148	(11/30/93)
Higgins	5,270,922	(12/14/93)
Guttermann et al.	5,297,031	(03/22/94)
Hunt et al.	5,724,524	(03/03/98)
Sampson et al.	5,802,499	(09/01/98)
Broka et al.	5,809,483	(09/15/98)
Cwenar	5,893,079	(04/06/99)
Silverman et al.	5,924,083	(07/13/99)
Hess et al.	6,058,417	(05/02/00)

Foreign Patent Documents

PCT  
PCT

WO 99/26173  
WO 00/16224

(05/27/99)  
(03/23/00)

The documents in this Information Disclosure Statement are listed on the accompanying Form PTO-1449 (submitted in duplicate) and copies are enclosed herewith.

Consideration of the foregoing in relation to this patent application is respectfully requested.

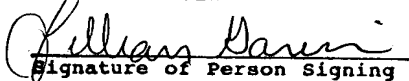
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